

SECTION J – LIST OF DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS

ATTACHMENT J-3: DEPARTMENT OF THE TREASURY SMALL, HUBZone SMALL, SMALL DISADVANTAGED, WOMEN-OWNED SMALL, VETERAN-OWNED SMALL BUSINESS, & SERVICE DISABLED VETERAN OWNED SMALL BUSINESS CONCERNS SUBCONTRACTING PLAN OUTLINE

The following outline meets the minimum requirements of Public Law 95-507 and the Federal Acquisition Regulation (FAR) Subparts 19.7. It is intended to be a guideline. It is not intended to replace any existing corporate plan which is more extensive. If assistance is needed to locate small business sources, contact the Director, Office of Small Business Programs (202) 622-0530 or the bureau Small Business Specialist, Jodie Paustian, (202) 283-1199. Please note that the Department of the Treasury has subcontracting goals of 41% for small business, 3% for HUBZone small business, 5% for small disadvantaged business, 5% for women-owned small business, 3% for Service Disabled Veteran-Owned small business concerns, and 1% for NISH organizations for fiscal year 2006. For this procurement, the Department of the Treasury expects all proposed subcontracting plans to contain the following goals, at a minimum, for small business 41%, for HUBZone small business concerns 3%, for small disadvantaged business concerns 5%, for women-owned small business concerns 5%, for Service Disabled Veteran-Owned small business concerns 3%, and for NISH organizations 1%. Although there is no statutory goal for Veteran-Owned small business (VOSB) concerns, a VOSB goal must be proposed in accordance with FAR 19.7 and should represent the offeror's effort to provide the maximum practicable subcontracting opportunities for VOSBs. Further, while there are no statutory goals for subcontracting with NISH organizations, for this procurement, the IRS expects prime contractors to propose a goal for subcontracting with NISH organizations. These percentages shall be expressed as percentages of the total available subcontracting dollars.

Identification Data: Company Name: _____

Address: _____

Date Prepared: _____ Solicitation Number: _____

Item/Service: _____

Place of Performance: _____

SECTION J – LIST OF DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS**1. TYPE OF PLAN: (Check only one).**

- _____ **INDIVIDUAL PLAN:** *In this type of plan all elements are developed specifically for this contract and are applicable for the full term of this contract.*
- _____ **MASTER PLAN:** *In this type of plan, goals are developed for this contract; all other elements are standard. The master plan must be approved every three (3) years. Once incorporated into a contract with specific goals, it is valid for the life of the contract.*
- _____ **COMMERCIAL PLAN:** *This type of plan is used when the contractor sells products and services customarily used for nongovernment purposes. Plan/goals are negotiated with the initial agency on a company-wide basis rather than for individual contracts. The plan is effective only during year approved. The contractor must provide a copy of the initial agency approval, AND MUST SUBMIT AN ANNUAL SF 295 TO TREASURY WITH A BREAKOUT OF SUBCONTRACTING PRORATED FOR TREASURY (WITH A BUREAU BREAKDOWN, IF POSSIBLE).*

2. GOALS:

FAR 19.704(a)(1) requires separate dollar and percentage goals for using small business concerns, HUBZone small business concerns, small disadvantaged business concerns, women-owned small business, veteran-owned small business, and service disabled veteran-owned small business concerns as subcontractors for the base year and each option year. (Please note that the goals for HUBZone small business, small disadvantaged business, women-owned small business, veteran-owned small business, and service disabled veteran-owned small business concerns, are sub-sets of the small business goal).

A. Estimated dollar value of all planned subcontracting, i.e., to all types of business concerns under this contract is:

FY_ <u>BASE</u>	FY_ <u>1ST OPTION</u>	FY_ <u>2ND OPTION</u>	FY_ <u>3RD OPTION</u>	FY_ <u>4TH OPTION**</u>
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

B. Estimated dollar value* and percentage of planned subcontracting to small business concerns is:
 (*This figure includes the amount in C., D., E., F., and G. below.)

FY BASE	FY 1ST OPTION	FY 2ND OPTION	FY 3RD OPTION	FY 4TH OPTION**
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

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C. Estimated dollar value and percentage of planned subcontracting to HUBZone small business concerns is:

<u>FY_</u> <u>BASE</u>	<u>FY_</u> <u>1ST OPTION</u>	<u>FY_</u> <u>2ND OPTION</u>	<u>FY_</u> <u>3RD OPTION</u>	<u>FY_</u> <u>4TH OPTION**</u>
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

D. Estimated dollar value and percentage of planned subcontracting to small disadvantaged business concerns is:

<u>FY_</u> <u>BASE</u>	<u>FY_</u> <u>1ST OPTION</u>	<u>FY_</u> <u>2ND OPTION</u>	<u>FY_</u> <u>3RD OPTION</u>	<u>FY_</u> <u>4TH OPTION**</u>
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

E. Estimated dollar value and percentage of planned subcontracting to small women-owned business concerns is:

<u>FY_</u> <u>BASE</u>	<u>FY_</u> <u>1ST OPTION</u>	<u>FY_</u> <u>2ND OPTION</u>	<u>FY_</u> <u>3RD OPTION</u>	<u>FY_</u> <u>4TH OPTION**</u>
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

F. Estimated dollar value and percentage of planned subcontracting to veteran-owned small business concerns is:

<u>FY_</u> <u>BASE</u>	<u>FY_</u> <u>1ST OPTION</u>	<u>FY_</u> <u>2ND OPTION</u>	<u>FY_</u> <u>3RD OPTION</u>	<u>FY_</u> <u>4TH OPTION**</u>
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

G. Estimated dollar value and percentage of planned subcontracting to service disabled veteran-owned small business concerns is:

<u>FY_</u> <u>BASE</u>	<u>FY_</u> <u>1ST OPTION</u>	<u>FY_</u> <u>2ND OPTION</u>	<u>FY_</u> <u>3RD OPTION</u>	<u>FY_</u> <u>4TH OPTION**</u>
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

H. Estimated dollar value and percentage of planned subcontracting to NISH organizations is:

<u>FY_</u> <u>BASE</u>	<u>FY_</u> <u>1ST OPTION</u>	<u>FY_</u> <u>2ND OPTION</u>	<u>FY_</u> <u>3RD OPTION</u>	<u>FY_</u> <u>4TH OPTION**</u>
\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____ %	_____ %	_____ %	_____ %	_____ %

****IF ANY CONTRACT HAS MORE THAN FOUR OPTIONS, PLEASE ATTACH ADDITIONAL SHEETS SHOWING DOLLAR AMOUNTS AND PERCENTAGES.**

- | SUPPLY/
SERVICE | COMPANY
NAME
(IF KNOWN) | BUSINESS
SIZE
(SB, HUBZone, SDB, WOB,
VOSB, SDVOSB, NISH, LB) | DOLLAR
AMOUNT |
|--------------------|-------------------------------|--|------------------|
|--------------------|-------------------------------|--|------------------|

(Attach

J. Explain the methods used to develop the subcontracting goals for small, HUBZone small business, small disadvantaged, women-owned small business, veteran-owned small business, and service disabled veteran-owned small business concerns. Explain how the product and service areas to be subcontracted were established, how the areas to be subcontracted to small, HUBZone small business, small disadvantaged, women-owned small, veteran-owned small business, and service disabled veteran-owned small businesses were determined, and how the capabilities of small, HUBZone small, small disadvantaged, women-owned small, veteran-owned and service disabled veteran-owned small businesses were determined. Identify all source lists used in the determination process.

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included in the dollar and percentage subcontracting goals stated above. (Check one.)

- L. If indirect and overhead costs HAVE BEEN included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to small, HUBZone small, small disadvantaged, women-owned small, veteran-owned, and service disabled veteran-owned small business concerns.

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3. PLAN ADMINISTRATOR:

FAR 19.704(a)(7) requires information about the company employee who will administer the subcontracting program. Please provide the name, title, address, phone number, position within the corporate structure and the duties of that employee.

Name: _____

Title: _____

Address: _____

Telephone: _____

Fax: _____

E:mail Address: _____

Position: _____

Duties: Does the individual named above perform the following? (If NO is checked, please indicate who in the company performs those duties, or indicate why the duties are not performed in your company).

- A. Developing and promoting company/division policy statements that demonstrate the company's/division's support for awarding contracts and subcontracts to small, HUBZone small, small disadvantaged, women-owned small, veteran-owned, and service disabled veteran-owned small business concerns.
_____ YES _____ NO
- B. Developing and maintaining bidders' lists of small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business concerns from all possible sources.
_____ YES _____ NO
- C. Ensuring periodic rotation of potential subcontractors on bidders' lists.
_____ YES _____ NO
- D. Assuring that small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small businesses are included on the bidders' list for every subcontract solicitation for products and services they are capable of providing.
_____ YES _____ NO
- E. Ensuring that subcontract procurement "packages" are designed to permit the maximum possible participation of small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small businesses.
_____ YES _____ NO
- F. Reviewing subcontract solicitations to remove statements, clauses, etc., which might tend to restrict or prohibit small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business participation.

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- _____YES _____NO
- G. Ensuring that the subcontract bid proposal review board documents its reasons for not selecting any low bids submitted by small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business concerns.
_____YES _____NO
- H. Overseeing the establishment and maintenance of contract and subcontract award records.
_____YES _____NO
- I. Attending or arranging for the attendance of company counselors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
_____YES _____NO
- J. Directly or indirectly counseling small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business concerns on subcontracting opportunities and how to prepare responsive bids to the company.
_____YES _____NO
- K. Providing notice to subcontractors concerning penalties for misrepresentations of business status as small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, or service disabled veteran-owned small business for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the contractor's subcontracting plan.
_____YES _____NO
- L. Conducting or arranging training for purchasing personnel regarding the intent and impact of Public Law 95-907 on purchasing procedures.
_____YES _____NO
- M. Developing and maintaining an incentive program for buyers which supports the subcontracting program.
_____YES _____NO
- N. Monitoring the company's performance and making any adjustments necessary to achieve the subcontract plan goals.
_____YES _____NO
- O. Preparing and submitting timely reports.
_____YES _____NO
- P. Coordinating the company's activities during compliance reviews by Federal agencies.
_____YES _____NO

4. EQUITABLE OPPORTUNITY

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FAR 19.704(a)(8) requires a description of the efforts your company will make to ensure that small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business concerns will have an equitable opportunity to compete for subcontracts. (Check all that apply.)

A. Outreach efforts to obtain sources:

- ☐ Contacting minority and small business trade associations
- ☐ Contacting business development organizations
- ☐ Attending small and minority business procurement conferences and trade fairs
- ☐ Finding sources from the Small Business Administration's Procurement Network (ProNet)

B. Internal efforts to guide and encourage purchasing personnel:

- ☐ Presenting workshops, seminars and training programs
- ☐ Establishing, maintaining and using small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business source lists, guides and other data for soliciting subcontracts
- ☐ Monitoring activities to evaluate compliance with the subcontracting plan

C. Additional efforts: (Please describe.)

5. CLAUSE INCLUSION AND FLOW DOWN

FAR 19.704(a)(9) requires that your company include FAR 52.219-8, "Utilization of Small Business Concerns", in all subcontracts that offer further subcontracting opportunities. Your company must require all subcontractors, except small business concerns, that receive subcontracts in excess of \$500,000 (\$1,000,000 for construction) to adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan."

Your company agrees that the clause will be included and that the plans will be reviewed against the minimum requirements for such plans. The acceptability of percentage goals for small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business concerns must be determined on a case-by-case basis depending on the supplies and services involved, the availability of potential small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business

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subcontractors and prior experience. Once the plans are negotiated, approved, and implemented, the plans must be monitored through the submission of periodic reports, including Standard Form (SF) 294 and SF 295 reports.

6. REPORTING AND COOPERATION

FAR 19.704(a)(10) requires that your company (1) cooperate in any studies or surveys as may be required, (2) submit periodic reports which show compliance with the subcontracting plan; (3) submit Standard Form (SF) 294, "Subcontracting Report for Individual Contracts," and SF 295, "Summary Subcontract Report," in accordance with the instructions on the forms; and (4) ensure that subcontractors agree to submit SF 294 and SF 295. The cognizant contracting officer of the Treasury bureau must receive the report(s) within 30 days after the close of each calendar period. That is:

<u>Calendar Period</u>	<u>Report Due</u>	<u>Date Due</u>	<u>Send Report To</u>
10/01--03/31	SF 294	04/30	IRS Contracting Officer
04/01--09/30	SF 294	10/30	IRS Contracting Officer
10/01--09/30	SF 295	10/30	IRS Contracting Officer

NOTE: A copy of the 295 report must also be sent to the Director, Office of Small Business Development, Department of the Treasury. The address is as follows:

Department of the Treasury
Attn: Director, Office of Small
Business Development
1500 Pennsylvania Avenue, N.W.
(Attn: 1310 G/400 West)
Washington, DC 20220

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7. RECORDKEEPING

FAR 19.704(a)(11) requires a list of the types of records your company will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. (Check all that apply.) (If NO is checked, please indicate why these types of records are not maintained).

- A. Small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business concern source lists, guides, and other data identifying such vendors.
_____YES _____NO
- B. Organizations contacted for small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business sources.
_____YES _____NO
- C. On a contract-by-contract basis, records on all subcontract solicitations over \$100,000 which indicate for each solicitation (1) whether small business concerns were solicited, and if not, why not; (2) whether HUBZone small business concerns were solicited, and if not, why not; (3) whether small disadvantaged business concerns were solicited, and if not, why not; (4) whether women-owned small business concerns were solicited, and if not, why not; (5) whether veteran-owned small business concerns were solicited, and if not, why not; (6) whether service disabled veteran-owned small businesses were solicited, and if not, why not; and (7) reasons for the failure of solicited small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business concerns to receive the subcontract award.
_____YES _____NO
- D. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conference and trade fairs.
_____YES _____NO
- E. Records to support internal activities to (1) guide and encourage purchasing personnel, e.g., workshops, seminars, training programs, incentive awards; and (2) monitor activities to evaluate compliance.
_____YES _____NO
- F. On a contract-by-contract basis, records to support subcontract award data including the name, address and business size and ownership status (HUBZone, SDB, WOB, VOSB, SDVOSB, etc.) of each subcontractor. (This item is not required for company or division-wide commercial plans.)
_____YES _____NO

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G. Other records to support your compliance with the subcontracting plan: (Please describe)

8. TIMELY PAYMENTS TO SUBCONTRACTORS

FAR 19.702 requires your company to establish and use procedures to ensure the timely payment of amounts due pursuant to the terms of your subcontracts with small business concerns, HUBZone small business concerns, small disadvantaged business concerns, women-owned small business concerns, veteran-owned small business concerns, and service disabled veteran-owned small business concerns.

Your company has established and uses such procedures:

☐ YES

☐ NO

9. DESCRIPTION OF GOOD FAITH EFFORT

*Maximum practicable utilization of small, HUBZone small, small disadvantaged women-owned small, veteran-owned small, and service disabled veteran-owned small business concerns as subcontractors in Government contracts is a matter of national interest with both social and economic benefits. When a contractor fails to make a good faith effort to comply with a subcontracting plan, these objectives are not achieved, and 15 U.S.C. 637(d)(4)(F) directs that liquidated damages shall be paid by the contractor. In order to demonstrate your compliance with a good faith effort to achieve the small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service disabled veteran-owned small business subcontracting goals, **outline the steps your company plans to take.** These steps will be negotiated with the contracting officer prior to approval of the plan.*

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10. SIGNATURES REQUIRED

This subcontracting plan was SUBMITTED by:

Signature:

Typed Name:

Title:

Date:

This subcontracting plan was REVIEWED by:

Signature:

Typed Name:

Title: Contracting Officer

Date:

This subcontracting plan was REVIEWED by:

Signature:

Typed Name:

Title: Small Business Specialist

Date:

This subcontracting plan was REVIEWED by:

Signature:

Typed Name:

Title: Small Business Administration Representative

Date:

This subcontracting plan was APPROVED by:

Signature:

Typed Name:

Title: Director, Office of Small Business Programs (or designee)

Date:

This subcontracting plan was ACCEPTED by:

Signature:

Typed Name:

Title: Contracting Officer

Date: